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ATTORNEY'S DOCKET NO. E0358/7002

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Srinivasan et al.
Serial No: 10/010,768
Filed: December 4, 2001
For: METHOD AND APPARATUS FOR INTELLIGENT, SCALABLE
COMMUNICATIONS IN A MULTI-ASSET FINANCIAL FULFILMENT
NETWORK
Examiner: not yet known
Art Unit: 2164
Conf. No. 3021

COMMISSIONER FOR PATENTS
WASHINGTON, D.C. 20231

Sir:

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Technology Center 2100

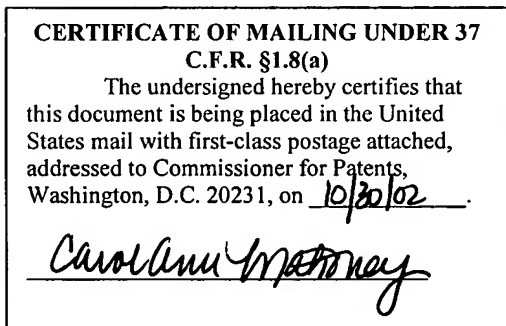
Transmitted herewith is/are the following document(s):

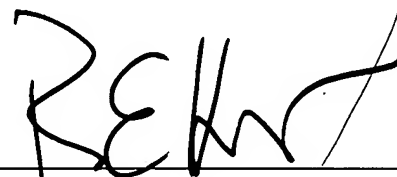
- ☒ Information Disclosure Statement and Form PTO-1449
- ☒ Return Receipt Postcard

If the enclosed papers are considered incomplete, the Mail Room and/or the Application Branch is respectfully requested to contact the undersigned at (617) 720-3500, Boston, Massachusetts.

No fee is enclosed. If the fee is insufficient, the balance may be charged to the account of the undersigned, Deposit Account No. 23/2825. A duplicate of this sheet is enclosed.

Respectfully Submitted,




Robert E. Hunt
Reg. No. 39,231
Wolf, Greenfield & Sacks, P.C.
600 Atlantic Avenue
Boston, MA 02210-2211
(617) 720-3500

Docket No. E0358/7002
October 28, 2002
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DOCKET NO: E0358/7002

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Applicant: Venkatesan Srinivasan et al.
Serial No: 10/010,768
Confirmation No: 3021
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Examiner: Unknown
Art Unit: 2164

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CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)

The undersigned hereby certifies that this document is being placed in the United States mail with first-class postage attached, addressed to Commissioner for Patents, Washington, D.C. 20231, on the 20 day of October, 2002.

Carol Ann Mahoney

Commissioner for Patents
Washington, D.C. 20231

STATEMENT FILED PURSUANT TO THE DUTY OF
DISCLOSURE UNDER 37 CFR §§1.56, 1.97 AND 1.98

Sir:

Pursuant to the duty of disclosure under 37 C.F.R. §§1.56, 1.97 and 1.98, the Applicant requests consideration of this Information Disclosure Statement.

PART I: Compliance with 37 C.F.R. §1.97

This Information Disclosure Statement has been filed before the mailing date of a first Office Action on the merits in the above-identified case.

No fee or certification is required.

PART II: Compliance with 37 CFR §1.704(d)

[] Each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart application and this communication was not received by the office of the undersigned more than 30 days prior to filing of this Information Disclosure Statement.

PART III: Information Cited

A. ☒ [X] The Applicant hereby makes of record in the above-identified application the information listed on the attached form PTO-1449 (modified). The order of presentation of the references should not be construed as an indication of the importance of the references.

B. ☐ [] The Applicant hereby makes the following additional information of record in the above-identified application.

1. ☐ [] The above-identified U.S. application claims priority to application Serial No. PCT/USxx/xxxxx. If the Examiner has not had the benefit of review of the file history of PCT/USxx/xxxxx, then he/she is asked to contact the undersigned, who will provide a copy of same.
2. ☐ [] The applicant would like to bring to the Examiner's attention the following co-pending applications that may contain subject matter related to this application:

Serial No.

Filing Date

Inventor(s)

[NOTE TO PRACTITIONERS - Must provide a copy of any pending U.S. application, even if it was previously submitted to or cited by the U.S. Patent Office in an earlier application, unless the earlier application is identified herein and is relied upon for an earlier filing date under 35 U.S.C. §120, and the copy was provided in the earlier application.]

3. ☒ [X] The Applicant would like to bring to the Examiner's attention the enclosed search report from a corresponding International or Foreign National Application.
4. ☐ [] The applicant would like to bring to the Examiner's attention the following other information, whose relevance is discussed in Part IV below:

PART IV: Remarks

Documents cited anywhere in the Information Disclosure Statement are enclosed unless otherwise indicated. It is respectfully requested that:

1. The Examiner consider completely the cited information, along with any other information, in reaching a determination concerning the patentability of the present claims;
2. The enclosed form PTO-1449 be signed by the Examiner to evidence that the cited information has been fully considered by the Patent and Trademark Office during the examination of this application;
3. The citations for the information be printed on any patent which issues from this application.

By submitting this Information Disclosure Statement, the Applicant makes no representation that a search has been performed, of the extent of any search performed, or that more relevant information does not exist.

By submitting this Information Disclosure Statement, the Applicant makes no representation that the information cited in the Statement is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b).

By submitting this Information Disclosure Statement, the Applicant makes no representation that the information cited in the Statement is, or is considered to be, in fact, prior art as defined by 35 U.S.C. §102.

Notwithstanding any statements by the Applicant, the Examiner is urged to form his own conclusion regarding the relevance of the cited information.

An early and favorable action is hereby requested.

Respectfully submitted,
Venkatesan Srinivasan et al., *Applicant*

By: _____

Robert E. Hunt, Reg. No. 39,231
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600 Atlantic Avenue
Boston, Massachusetts 02210-2211
Telephone: (617) 720-3500

Docket No. E0358/7002
Date: October 30, 2002
XNDDX



INFORMATION DISCLOSURE STATEMENT BY APPLICANT		APPLICATION NO.: 10/010,768		ATTY. DOCKET NO.: E0358/7002	
		FILING DATE: December 4, 2001		CONFIRMATION NO.: 3021	
		APPLICANT: Venkatesan Srinivasan et al.			
		GROUP ART UNIT: 2164		EXAMINER: Unknown	
Sheet	1	of	1		

U.S. PATENT DOCUMENTS

Examiner's Initials	Cite No.	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication or of issue of Cited Document MM-DD-YYYY
		Number	Kind Code		
		US2001/0047326	A1	Broadbent et al.	11/29/2001
		US2001/0056475	A1	Anderson et al.	12/27/2001
		5,706,442		Anderson et al.	01/06/1998
		6,131,115		Anderson et al.	10/10/2000

FOREIGN PATENT DOCUMENTS

Examiner's Initials	Cite No.	Foreign Patent Document			Name of Patentee or Applicant of Cited Document (not necessary)	Date of Publication of Cited Document MM-DD-YYYY	Translation (Y/N)
		Office/ Country	Number	Kind Code			

OTHER ART — NON PATENT LITERATURE DOCUMENTS

Examiner's Initials	Cite No	Include name of the author (in CAPITAL LETTERS) title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, relevant page(s), volume-issue number(s), publisher, city and/or country where published.	Translation (Y/N)
		International Search Report PCT/US01/46398 ✓	

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EXAMINER	DATE CONSIDERED	GROUP 3600
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#EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

*a copy of this reference is not provided as it was previously cited by or submitted to the office in a prior application, Serial No. __, filed __, and relied upon for an earlier filing date under 35 U.S.C. 120 (continuation, continuation-in-part, and divisional applications).

[NOTE - Must provide a copy of any patent, publication, other information listed, even if it was previously submitted to, or cited by, the U.S. Patent Office in an earlier application, unless the earlier application is identified by the IDS and is relied upon for an earlier filing date under 35 U.S.C. §120, and the copy was provided in the earlier application.]